

PATENT



ATTORNEY DOCKET NO. UCSF.002.01US

0300

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Vishwanath R. Lingappa *et al* ) Examiner:  
Serial No.: 10/040,206 )  
Filed: January 2, 2002 ) Art Unit:  
For: HIV Capsid Assembly-Associated ) **INFORMATION DISCLOSURE**  
Compositions and Methods ) **STATEMENT TRANSMITTAL**

**BOX DD**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Transmitted herewith is:

An Information Disclosure Statement.  
 A PTO-1449.  
 Copies of references \_\_\_\_\_ as listed on the PTO-1449.  
 An International Search Report.  
 Return postcard (postage prepaid).

CERTIFICATE OF FIRST-CLASS MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first-class mail in an envelope addressed to the U.S. Patent and Trademark Office, PO Box 2327, Arlington, VA 22202

on 3-22-02

(Date)

  
(Signature)

Lorraine Sarlat  
(Printed Name)

1.  This Information Disclosure Statement is filed before the later of:
  - three months from the filing date of this national application;
  - three months from the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application; or
  - the mailing date of a first office action on the merits.

In accordance with 37 C.F.R. § 1.97(b), no fee is required.
2.  This Information Disclosure Statement is filed after the events noted in paragraph 2, but before either:
  - (1) a final action under 37 C.F.R. § 1.113; or
  - (2) a Notice of Allowance under 37 C.F.R. § 1.311.

In accordance with 37 C.F.R. § 1.97(c) also enclosed is:
  - a fee under 37 C.F.R. § 1.17(p) in the amount of \$240; or
  - a certification as stated below.
3.  This Information Disclosure statement is filed before the payment of the issue fee, but after either:
  - (1) a final action under 37 C.F.R. § 1.113; or
  - (2) a Notice of Allowance under 37 C.F.R. § 1.311.

In accordance with 37 C.F.R. § 1.97(d) also enclosed is:
  - (1) A certification, as stated below;
  - (2) A Petition requesting consideration of the Information Disclosure

Statement; and

(3) The petition fee set forth in 37 C.F.R. § 1.17(i)(1) in the amount of \$130.

Certification

The undersigned also states:

[ ] Each item of information contained in the Information Disclosure Statement cited herein was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing date of this Information Disclosure Statement; or

[ ] No item of information contained in the Information Disclosure Statement submitted herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing date of this Information Disclosure Statement.

The fees indicated above are:

**TOTAL FEES: \$**

[ ] A check including the amount of the above-indicated TOTAL FEES is attached.

[ ] Please charge Deposit Account No. 18-0020 in the amount of: \$ \_\_\_\_\_.

[ ] A check in the amount of \$ \_\_\_\_\_ is attached.

[X] No fee is required.

[X] The Commissioner is hereby authorized to charge any underpayment of the following fees associated with this communication, including any necessary fees for extension of time, or credit any overpayment to Deposit Account No. 18-0020.

[X] Any filing fees under 37 C.F.R. § 1.16 for the presentation of extra claims.

[X] Any patent application processing fees under 37 C.F.R. § 1.17.

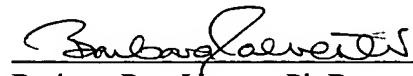
PATENT

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[X] A duplicate copy of this sheet is attached for accounting purposes.

Respectfully submitted,

Dated: March 21, 2002

  
Barbara Rae-Venter, Ph.D.  
Reg. No. 32,750

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PATENT



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For: HIV Capsid Assembly-Associated ) INFORMATION DISCLOSURE  
Compositions and Methods ) STATEMENT  
)

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**BOX DD**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

This Information Disclosure Statement is hereby submitted in accordance with 37 CFR 1.98 and pursuant to Applicant's continuing duty under 37 CFR 1.56 to bring any information which may be material to patentability of this application to the Examiner's attention.

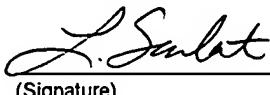
References D1-D18 will be submitted under separate cover.

Applicant makes no representation that a complete search has been conducted by the Applicant, or that there is not possibly more relevant art. Applicant also makes no representation that the information submitted herewith is in fact material.

CERTIFICATE OF FIRST-CLASS MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first-class mail in an envelope addressed to the U.S. Patent and Trademark Office, PO Box 2327, Arlington, VA 22202

on 3/22/02  
(Date)

  
(Signature)

Lorraine Sarlat  
(Printed Name)

The subject application is believed patentable over any of the above references.

Respectfully submitted,

Dated: March 21, 2002

Barbara Rae-Venter  
Barbara Rae-Venter, Ph.D.  
Reg. No. 32,750

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Phone: (831) 648-3090  
Facsimile: (831) 242-0137

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The following has been received in the U.S. Patent Office on the date \_\_\_\_\_ per hereto:

Patent Application, \_\_\_\_ pps.  
specification, \_\_\_\_ pps claims,  
\_\_\_\_ pps abstract

Drawings: \_\_\_\_ sheets of  
informal / formal

Application Transmittal

Return receipt postcard

Response / Amendment

Issue Fee Transmittal

Notice of Appeal

Appeal Brief(3 copies) \_\_\_\_ pages

PTO Box# DD

Express Mail Label \_\_\_\_\_

Other \_\_\_\_\_

Executed/unexecuted Declaration/POA

Assignment

Verified Small Entity Statement

Rule 132 Declaration

312 Amendment after Allowance

Notice to File Missing Parts of App.

Information Disclosure Statement

Petition for Extension of Time

Certificate of Correction

IDS Transmittal, IDS Statement  
PTO-1449 [ No. of References 0 ]

Status Inquiry

Check No. \_\_\_\_\_ in amount of \$ \_\_\_\_\_



Serial No.: 10/040,206 Attorney Docket No.: 11CSF.002.01US  
Attorney/Secretary: SS Mailing Date: 3/22/02



0330

Docket No: 11CSF.002.01US

0330

**KEEP THIS FORM WITH FILE UNTIL COMPLETED.**DATE DUE: 4/2/02

FILING ATTORNEY

1<sup>st</sup> REVIEW COMPLETED: BurDECLARATION OF MAILING (EXPRESS / 1<sup>st</sup> CLASS), FAXING SIGNED: \_\_\_\_\_EXPRESS / 1<sup>st</sup> CLASS / FAX FOOTNOTE SIGNED: \_\_\_\_\_

SUBSTANTIVE ATTORNEY

REVIEW COMPLETED: \_\_\_\_\_

(including initialing of postcard)

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FOR FAX, FAX NUMBER: \_\_\_\_\_, PAGES SENT: \_\_\_\_\_

RECEIVING FAX NUMBER: \_\_\_\_\_, PAGES RECD: \_\_\_\_\_

3<sup>RD</sup> & FINAL REVIEW AND MAILING COMPLETED: \_\_\_\_\_

C:\PAFWork\Forms\filing checklist.doc